

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 401142

First Inventor TADA et al.

Title Optical Modulator, Method For  
Fabricating The Same, And Photonic  
Semiconductor Device

Express Mail Label No.

**APPLICATION ELEMENTS**

1. ☒ Utility Patent Application Transmittal Form
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification (including claims and abstract) [Total Pages 42]
4. ☒ Drawings [Total Sheets 22]
5. ☒ Combined Declaration and Power of Attorney [Total Pages 3]
  - a. ☒ Newly executed
  - b. ☐ Copy from prior application [Note Box 6 below]
    - i. ☐ Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application
6. ☐ Incorporation by Reference: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered as part of the disclosure of the accompanying application and is hereby incorporated by reference.
7. ☒ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
9. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper Copy
  - c. ☐ Statement verifying identity of above copies
10. ☐ Applicant requests early publication. (include publication fee under 37 CFR 1.18(d))

**ADDRESS TO:**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

**ACCOMPANYING APPLICATION PARTS**

11. ☒ Assignment Papers (cover sheet and document(s))
12. ☐ 37 CFR 3.73(b) Statement (when there is an Assignee)
13. ☐ Power of Attorney
14. ☐ English Translation Document (if applicable)
15. ☒ Information Disclosure Statement (IDS)
  - ☒ Form PTO-1449
  - ☒ Copies of Listed Documents
16. ☒ Preliminary Amendment
17. ☒ Return Receipt Postcard (Should be specifically itemized)
18. ☒ Certified Copy of Priority Document(s)
19. ☐ Request & Certification Under 35 USC 122(b)(2)(B)(i) (Form PTO/SB/35 or its equivalent attached)
20. ☐ Other:

21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information in (a) and (b) below:

(a) ☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application no. \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ ; Group Art Unit: \_\_\_\_\_

(b) Preliminary Amendment: Benefit of earlier filing date - 35 USC 120. The Commissioner is requested to amend the specification by inserting the following sentence before the first line:

"This is a ☐ continuation ☐ divisional ☐ continuation-in-part (CIP) of  
☐ Application No. \_\_\_\_\_, filed on \_\_\_\_\_, which is incorporated by reference."  
☐ International Application No. \_\_\_\_\_, filed on \_\_\_\_\_, which designates the U.S., and  
which is incorporated by reference."


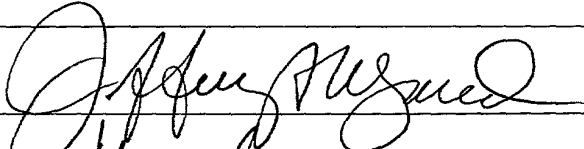
## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 401142

APPLICATION FEES				
BASIC FEE				\$710.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	20 -20=	0	x \$18.00	\$0.00
Independent Claims	3 - 3=	0	x \$80.00	\$0.00
<input type="checkbox"/> Multiple Dependent Claim if applicable			+\$270.00	\$
Total of above calculations =				\$710.00
Reduction by 50% for filing by small entity =				\$( )
<input checked="" type="checkbox"/> Assignment fee if applicable			+ \$40.00	\$40.00
<input type="checkbox"/> Early publication fee if applicable			+ \$300.00	\$
TOTAL =				\$750.00

22. ☐ Please charge my Deposit Account No. 12-1216 in the amount of \$ .
23. ☒ A check in the amount of \$750.00 is enclosed.
24. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 12-1216:
- a. ☒ Fees required under 37 CFR 1.16.
  - b. ☐ Fees required under 37 CFR 1.17.
25. ☐ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 12-1216 for any fee that may be due in connection with such a request for an extension of time.

## 26. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number: 23548  <b>23548</b> <small>PATENT TRADEMARK OFFICE</small>		<input checked="" type="checkbox"/> Jeffrey A. Wyand, Reg. No. 29,458 Leydig, Voit & Mayer, Ltd. 700 Thirteenth Street, N.W., Suite 300 Washington, D.C. 20005-3960 (202) 737-6770 (telephone) (202) 737-6776 (facsimile)
Name	Jeffrey A. Wyand, Registration No. 29,458	
Signature		
Date	March 27, 2001	

ApTml (Rev. 11/13/2000)